

Appendix F CONSTRUCTION - OPERATIONS SUBPLAN

1. Purpose

This appendix provides the general policies and procedures for the execution of quality management activities in the Construction-Operations Division, Engineering and Technical Services Directorate (DETS), South Pacific Division and of the Construction-Operations Divisions of the Districts within the South Pacific Division. Guidance provided includes:

Main Body of Appendix F	Quality Management of Construction-Operations Activities/Products
Enclosure 1	QM Guidance on Construction
Enclosure 2	QM Guidance on Regulatory Functions
Enclosure 3	QM Guidance on Operations and Readiness Function

2. Applicability

2.1.1. This plan applies to construction-operations activities within CESPD and its districts, including those associated with civil works, OMA, MILCON, HTRW, FMS, WFO and SFO. The quality management process applies to all Construction, Operations and Regulatory and Readiness services and products, including those reports and other sub-products which are integral parts of decision and implementation documents developed as part of the planning, engineering and other programs.

Enclosure 1

QUALITY MANAGEMENT GUIDANCE ON CONSTRUCTION

1. Purpose

This plan provides South Pacific Division's annual construction quality assurance organizational operating plan pursuant to ER 1180-1-6 (Construction Quality Management).

2. Applicability

This plan applies to construction activities within CESPD and its districts. Construction programs include civil works, OMA, MILCON, HTRW, FMS, WFO and SFO.

3. Organization

3.1. Within CESPD, construction quality assurance is the responsibility of CESPD-ET-C (Construction-Operations Division). Construction-Operations Division is currently staffed by three construction managers. Program responsibilities are divided among the three construction managers as follows: 1 Military Construction Manager, 1 Civil Works Construction Manager, and 1 HTRW/SFO/WFO Construction Manager.

3.2. Staffing needs: no additional staffing needs are presently projected; however, pending reorganization plans may require an updated analysis within FY 00.

4. Responsibilities

4.1. CESPD-ET-C shall review and recommend approval of each district's annual quality assurance plan (required per ER 1180-1-6) prior to its being forwarded to HQUSACE.

4.2. CESPD-ET-C shall make periodic visits to district and field offices to verify that QA plans are in place and are effective.

4.3. CESPD-ET-C shall manage Division S&A targets, construction placement and expenses in coordination with District Construction Divisions and the Regional Management Board (RMB) according to CESPD R 415-1-6. CESPD-ET-C is responsible for the stewardship of the S&A regional accounts, financial reporting and analyzing fiscal data related to actual S&A income and expense reports. The RMB and Division Commander approve the District's budgets.

4.4. Design Construction Evaluations (DCE). As of 1 October 1998, HQUSACE no longer conducts DCEs. As part of CESPD's quality assurance responsibilities, CESPD-ET-E and CESPD-ET-C shall jointly be responsible for execution of the DCE program within CESPD that conforms to the requirements prescribed in ER 1110-1-12 and ER 415-1-13. The DCE program generally shall utilize the processes in the QA Focus Areas outlined in the Main Body of this

QMP. DCE visits shall be conducted according to Regulation CESPD R 1110-1-10 dated 20 August 1999.

4.5. CESPD-ET-C shall participate in annual Command Assistance Visits to each district and will evaluate district QA plans as part of that visit.

4.6. CESPD-ET-C shall participate in the Lab certification process.

4.7. Each construction manager will provide construction expertise to District Support Teams (DST) according to his or her assigned areas. A main focus of this DST participation shall be to ensure that the special needs of the field offices for timely responses to required actions is provided by the DSTs.

4.8. As part of the evaluation of District performance, CESPD-ET-C will determine the degree to which the District Construction Branch and field offices practices conform to the Regional Project Management Business Process (RPMBP). This evaluation shall focus on SOP 3C, PM/Construction Manager Roles and Responsibilities, but shall also include the other RPMBP requirements.

5. Training

5.1. Planning: training plans (including both organizational unit and individual development plans) within CESPD-ET-C will evaluate both technical and management training needs to assure maintenance of technical expertise and construction management expertise of construction managers to facilitate their quality assurance roles.

5.2. Facilitation: CESPD-ET-C personnel will continue to facilitate QA training within SPD. Emphasis during this planning period will be on continuation of HTRW Manifest Training facilitation, HTRW safety refresher training and on facilitation of testing training. Districts shall have primary responsibility for the QA/QC labs are certified in accordance with established USACE and CESPD policies.

5.3. Districts shall be required to maintain training matrices that display which personnel have what QA expertise within each field office.

6. Pre-award QA

6.1. CESPD-ET-C shall participate in all Advance Acquisition Planning Conferences.

6.2. Districts shall have primary responsibility for pre-award construction QA activities including BCOE reviews, Plan-In-Hand reviews, Independent technical review Teams (ITRT), input to special contract provisions, and design review conferences. However, CESPD QA shall on occasion include participation in any of the foregoing activities on a "spot check" or as-requested basis. CESPD-ET-C shall evaluate the participation of District construction representatives in these activities.

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6.3. CESPD-ET-C shall participate in project working groups as required.

7. Post-award QA

7.1. Districts shall have primary responsibility for post-award QA activities including QA reporting, participation in the 3 phase inspection system, ad hoc problem solving, deficiency monitoring, QA testing, construction safety, and schedule maintenance. However, CESPD QA shall on occasion include participation in any of the foregoing activities on a "spot check" basis. CESPD QA personnel shall provide exit briefs to responsible district personnel after any spot checks and shall include in the briefs both deficiencies noted and recommended solutions.

7.2. CESPD-ET-C shall manage those programs that recognize outstanding achievement in quality assurance, e.g. the Hard Hat of the Year award, the Construction Manager of the Year award, the Military Construction Contractor of the Year award, the Civil Works Construction Contractor of the Year award, and the Dredging Contractor of the Year award.

7.3. The review and approval responsibility for construction quality control plans has been delegated by CESPD to the districts.

7.4. CESPD-ET-C shall identify selected District technical personnel to act as Division representatives when needed to supplement CESPD-ET-C expertise.

8. Supplements

8.1. CESPD-ET-C shall assure that each district annually supplements ER 1180-1-6 with its own QA plan. District QA plans shall be due in Division no later than the close of the first month of each fiscal year.

8.2. CESPD-ET-C shall combine annual district QA plans with the annual CESPD-ET-C QA plan and forward all plans to HQUSACE in accordance with ER 1180-1-6.

Enclosure 2

QUALITY MANAGEMENT GUIDANCE ON REGULATORY FUNCTIONS

1. Purpose

This enclosure provides the general policies and procedures for the execution of quality assurance activities in the Regulatory Program Office, Construction-Operations Division, Directorate of Engineering and Technical Services, South Pacific Division (CESPD-ET-C) and of quality control activities in the Regulatory Branches of the Districts within the South Pacific Division.

2. Applicability

This appendix supplements the guidelines provided in the main body of the Quality Management Plan and applies to all regulatory functions, activities, and products of the Construction-Operations Division, DETS, and CESPD District Regulatory Branches. The policy of CESPD-ET-C is to provide quality regulatory products and services to the regulated community and all other interested parties, consistent with all applicable laws, regulations, and the public interest. The Districts are responsible for the preparation of regulatory products and the quality control necessary to produce those products. CESPD-ET-C is responsible for quality assurance of the Regulatory Program, and the products and services provided.

3. References

This appendix implements portions of the guidance presented in the following regulations:

- 33 CFR Part 325, Appendix C
- 33 CFR Part 325, Appendix B
- 33 CFR Parts 320-330
- 50 CFR Part 402
- 40 CFR Part 230

4. Definitions

The definition of terms used in this appendix are generally consistent with the definitions provided in the DETS Quality Management Plan. Within the text of this appendix, certain definitions are expanded upon to place them in a context appropriate for the Regulatory Program.

5. Relationship of the Division and Districts

5.1. Division: CESPD-ET-C is responsible for quality assurance for all regulatory functions accomplished by the Districts. CESPD-ET-C shall review and approve the regulatory functions

portion of each District's Quality Management Plan; provide oversight of the quality control process at each District; and provide policy review for regulatory functions and products within CESPD

5.2. Districts: Each District Regulatory Branch is responsible for controlling the quality of all work they accomplish, including standard and general permits, jurisdictional determinations, enforcement actions, and permit compliance. To assist in the achievement of high quality regulatory products, the Districts shall develop, carry out, and keep up to date their own Quality Management Plans, as described in the DETS Quality Management Plan. The Quality Management Plans shall establish District roles, responsibilities, and processes consistent with this appendix. Districts shall also be responsible for the development and implementation of Quality Control Plans for regulatory functions, activities, and products covered by this appendix.

6. Division Quality Assurance Responsibilities

6.1. Regulatory Program Manager: At CESPD-ET-C, the Regulatory Program Manager is responsible for the quality assurance of the Regulatory Program, including but not limited to the following activities:

6.1.1. Providing technical and policy oversight of the District's Regulatory Programs.

6.1.2. Developing procedures, guidelines, and implementing instructions for accomplishing regulatory mission activities within CESPD.

6.1.3. Reviewing and approving the Districts' Quality Management Plan for Regulatory Branch functions.

6.1.4. Providing technical guidance and regulatory policy support to the Districts, as requested. Providing assistance to the Districts in resolving major technical and/or policy issues.

6.1.5. Assuring current policies are implemented in District regulatory products. Facilitating resolution of policy issues with HQUSACE and others.

6.1.6. Recommending Division Commander approval of Regulatory Program activities that have been delegated to CESPD.

6.1.7. Evaluating Regulatory Program performance indicators.

6.1.8. Leading the regulatory portion of the Command Assistance Program.

7. District Quality Control Responsibilities

Regulatory Branch Chiefs, Section Chiefs, and Regulatory Project Managers all have significant roles and responsibilities in achieving quality regulatory products. The roles and responsibilities of all participating individuals shall be described in the District's Quality Management Plan and Quality Control Plans, and shall include the responsibilities described below.

7.1. Regulatory Branch Chiefs: The Branch Chiefs shall have the overall responsibility for the technical quality of regulatory products. It will be the responsibility of the Branch Chief to assure that the Quality Management/Control Plan is implemented and that any discrepancies discovered as a result of training, audits, field evaluations, or Command Assistance Visits are corrected.

7.2. Section Chiefs: Quality control is the appropriate evaluation of regulatory products, services, and processes to ensure that they meet the requirements of, and are in compliance with all applicable laws, regulations, and recognized technical practices of the disciplines involved. In large part, this shall be accomplished by the Section Chiefs through their independent review process of staff actions and products.

7.3. Quality Control Plans: Regulatory Branch Quality Control Plans shall be prepared by each District, and should rely heavily on their approved Quality Management Plans, through reference, and highlight only exceptions. The review and approval responsibility for QCPs has been delegated by CESPD to the district. A Quality Control Plan shall, as a minimum, include the following:

7.3.1. A statement of the Quality Control Plan objectives.

7.3.2. A statement of the applicable regulations and guidelines, and regulatory actions and products covered by the plan.

7.3.3. A statement of the quality control criteria, consistent with established regulations and policies, to evaluate the acceptability of regulatory products and actions produced by the Branch, including but not limited to, the proper application of regulations, guidance, and procedures; appropriate protection of the aquatic environment; and efficiency of actions consistent with established timeliness goals.

7.3.4. A statement of actions taken to insure that all Regulatory Branch products and actions meet the above identified criteria, such as training, audits of completed actions, and field evaluations of staff skills in making accurate jurisdictional determinations, including but not limited to, wetland delineations, ordinary high water mark determinations, and any other field skills required to perform their duties as Regulatory Project Managers.

7.4. Product Review:

7.4.1. Products: The Quality Control Plan shall identify all regulatory products and actions produced by Regulatory Project Managers to be reviewed by Section and Branch Chiefs. These products include, but are not limited to: Standard Permits, General Permits, jurisdictional determinations, including wetland delineations, enforcement actions, and permit compliance. These products shall be essentially complete before review is undertaken, and the Section and Branch Chiefs shall be responsible for the technical and policy accuracy of all products and resultant decisions

8. Quality Assurance Process

In addition to the oversight of technical and policy issues indicated above, quality assurance by CESPD-ET-C shall include, but not be limited to, the following activities:

- a. Informal Consultation.
- b. Review of Sample Regulatory Products.
- c. Issue Resolution.
- d. Technical Workshops.
- e. Monitoring Technical Competency.

Enclosure 3
QUALITY MANAGEMENT GUIDANCE ON
OPERATIONS AND READINESS FUNCTION

1. Purpose

This appendix provides the general policies and procedures for the execution of quality assurance activities in the Construction-Operations Division, Operations and Readiness Branch, Engineering and Technical Services Directorate (DETS), South Pacific Division, and of quality control activities for the Operations and Readiness functional elements in the CESPD Districts.

2. Applicability

2.1. This appendix supplements the guidelines provided in the main body of the Quality Management Plan and applies to all activities of the Construction-Operations Division, DETS and CESPD Districts having responsibility for Operations and Readiness activities.

2.2. The quality management process applies to all Operations and Readiness services and products, including those sub-products which are integral parts of decision and implementation documents developed as part of the Planning, Engineering and Operations and Readiness programs including the following:

2.2.1. Planning Reports (Reconnaissance, Feasibility, etc.)

2.2.2. Engineering Reports (Design Memorandums, etc.)

2.2.3. Operations & Readiness Reports

2.2.4. Rehabilitation Reports

2.3. Operations and Readiness Reports include Reservoir Regulation Manuals/Plans, Periodic Inspection Reports, Dam Safety Emergency Action Plans, Water Quality Management Plans, Operations and Maintenance Manuals, Master Plans and Operational Management Plans with their associated Updates, Supplements and Amendments. The technical review processes for all documents are described in the other appendices to this Division office memorandum.

2.4. Exception. Due to its special requirements, Natural Disaster Procedures are classified as a unique function of the Corps as described in the Division Organizational Guidelines. Quality assurance and quality control of these products shall be performed at CESPD as prescribed in the existing engineering regulations and guidance and following the general quality management principles set forth in this quality management plan. (See also the Engineering Subplan for additional guidance on quality control of flood recovery efforts.) ER 500-1-1 prescribes the policies for the Disaster Preparedness and Response Program with ER 50-1-26 providing a comprehensive evaluation process for this program. Checklists have been

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developed as part of both ER 500-1-1 and ER 500-1-26 to validate readiness-oriented activities and to provide MSCs with a consistent means of evaluating District Response Plans.

3. References

- 3.1. ER 500-1-1, Natural Disaster Procedures
- 3.2. ER 500-1-26, Evaluation and Corrective Action
- 3.3. ER 1110-1-12, Quality Management
- 3.4. EC 1165-2-203 Implementation of Technical Policy Compliance Review.
- 3.5. EP 37-1-6 Resource Management Functional Guide
- 3.6. CECG/AASA(CE) Joint Memorandum, dated 31 March 1995, Subject: Technical Review Process
- 3.7. CECW-A Policy Memorandum No. 2, dated 6 April 1995, Subject: Civil Works Decision Document Review -- Policy Compliance

4. Definitions

See main Quality Management Plan.

5. District Quality Control Responsibilities

5.1. Objective: District Operations and Readiness activities shall be responsible for developing and following quality control management practices and business procedures to insure the quality of Operations and Readiness products and services. These objectives shall be met by development and execution of District Operations and Readiness Quality Management and Quality Control Plans.

5.2. Quality Management Plan (QMP): District Operations and Readiness activities shall establish, and update annually, an Operations and Readiness QMP or the Operations and Readiness portion of the District's QMP which complies with the policies and principles presented in this memorandum and in applicable USACE regulations. District QMPs will establish the roles, responsibilities and processes of District Operations and Readiness activities for each major Operations and Readiness function and activity. The QMP shall be reviewed and approved by CESPD.

5.3. Quality Control Activities:

5.3.1. Responsibilities: The District Chief of Construction-Operations shall have overall responsibility for the technical quality of Operations and Readiness products and services. Other subordinate managers, leaders, and individuals within Operations and Readiness Branch

also have significant roles and responsibilities in achieving quality products and services. The roles and responsibilities of these individuals shall be described in the District's Operations and Readiness Quality Management Plan.

5.3.2. Independent Technical Review: Independent technical review is applicable to only those reports, memoranda, and other documents prepared by Operations and Readiness that are an integral part of a Civil Works decision or implementation document. Key to the successful execution of the quality control process for the products developed by Operations and Readiness Branch and its contractors is the independent technical review of a product. This review shall be accomplished by individuals having expertise in disciplines involved in the type of product being developed and reviewed, and who were not involved in the product development.

5.3.3. Products Developed by Contractors: Some Operations and Readiness products may be developed by other than in-house staff, noted herein as contractors. For Operations and Readiness products developed by contractors, the quality control activities shall be the responsibility of the contractor. Quality assurance activities, including development of a quality assurance plan for a contractor's product, shall be the responsibility of the District Operations and Readiness activities. The Chief of Construction-Operations, CESPD, will exercise general oversight of the District's quality assurance activities.

6. CESPD Quality Assurance Responsibilities

6.1. Responsibilities: The Chief of Construction-Operations at CESPD shall be responsible for reviewing and approving the Districts' Operations and Readiness Quality Management Plans, and quality assurance plans for contracted Operations and Readiness work; for the conduct of quality assurance activities to ensure District compliance with this plan and for recommending changes in District Operations and Readiness activities quality management and quality control processes, as needed, to assure that:

6.2. Quality Assurance Activities: At CESPD, the Chief, Construction-Operations is responsible for the following quality assurance activities:

6.2.1. Providing technical guidance concerning the District's Operations and Readiness programs and activities. This includes conducting site inspections of project O&M activities to assess effectiveness of support given to Water Resources project sites and visitors centers.

6.2.2. Developing procedures and guidelines for accomplishing interdisciplinary Operations and Readiness activities. Also administer the Navigation, Recreation, Natural Resources, Environmental Compliance and Flood Control O&M Programs.

6.2.3. Assuring quality of District technical review programs for Operations and Readiness studies, reports and activities. Includes all recreation and natural resources studies, Master Plans, Operational Management Plans and Environmental Assessment reports. Selected spot checks will be accomplished to assess the District Quality Control Program.

- 6.2.4. Approving the District's QMPs for Operations and Readiness services and products.
- 6.2.5. Assuring existing policies are implemented and adhered to in developing District Operations and Readiness products and conducting Operations and Readiness procedures. Facilitating resolution of policy issues with HQUSACE and others.
- 6.2.6. Participating in issue resolution conferences.
- 6.2.7. Forwarding District Operations and Readiness documents to HQUSACE for policy review and processing, and providing oversight of the Washington-level review.
- 6.2.8. Assuring the adequacy of Operations and Readiness input into environmental impact statements and other documents, which demonstrate MSC compliance with environmental statutes.
- 6.2.9. Monitoring customer satisfaction with District Operations and Readiness products and services.
- 6.2.10. Leading the Operations and Readiness portion of the command assistance program.
- 6.2.11. Participating in District Support Teams.

7. Quality Assurance Process

In addition to the oversight of the Operations and Readiness technical review process as indicated above, quality assurance by the Branch will include the following:

- 7.1. Informal Consultation: The cornerstone of CESPD-ET-C's role in quality assurance is to provide informal consultation regarding technical and policy issues. Such consultations will serve to ensure that District Operations and Readiness activities are in compliance with approved quality control plans and to quickly resolve technical and policy issues.
- 7.2. Review of Sample Products: CESPD-ET-C will conduct oversight reviews of selected Operations and Readiness products produced by the District Operations and Readiness activities. These reviews are for the purpose of identifying systemic problems, trends and possible improvements to the process, and assure compliance with current policy.
- 7.3. Issue Resolution Conferences: CESPD-ET-C will participate in issue resolution conferences when District Operations and Readiness activities request technical assistance or policy guidance to address issues raised as a result of Operations and Readiness quality assurance activities.
- 7.4. Technical Workshops: To promote technology transfer and exchange of ideas on innovative technologies, CESPD-ET-C will host periodic technical workshops.

7.5. Command Assistance Visits: During command assistance visits, reviews will be made to ensure that District Operations and Readiness activities comply with the provisions of this sub-plan and of District Operations and Readiness quality management plans.

7.6. Performance Indicators and Measures: MSCs and Headquarters have been developing a program to measure performance through specific indicators. The Performance Measurement Program will be added to the overall QA/QC process as it is finalized.